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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 426882000200 Total Pages 80

## First Named Inventor or Application Identifier

Michael L. BEACHAM, Scott M. LOBEL, Wendy YAN and Roy T. ORTMAN

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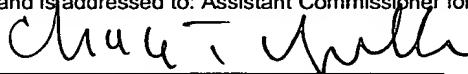
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## CERTIFICATE OF MAILING BY "EXPRESS MAIL"

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Date of Deposit: October 25, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressed" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.



Chase Trombella

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>		ADDRESS TO:	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form <small>(Submit an original, and a duplicate for fee processing)</small>	[Total Pages 2]	6. <input type="checkbox"/> Microfiche Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Specification <small>(preferred arrangement set forth below)</small>	[Total Pages 40]	7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>	
<ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings <small>(if filed)</small></li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul>		a. <input type="checkbox"/> Computer Readable Copy	
3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113)	[Total Sheets 29]	b. <input type="checkbox"/> Paper Copy (identical to computer copy)	
4. <input checked="" type="checkbox"/> Oath or Declaration	[Total Pages 2]	c. <input type="checkbox"/> Statement verifying identity of above copies	
<ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 17 completed)</small> <small>[Note Box 5 below]</small></li> <li>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</small></li> </ul>		8. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document) (2 pages)	
<ul style="list-style-type: none"> <li>5. <input type="checkbox"/> Incorporation By Reference <small>(useable if Box 4b is checked)</small> <small>The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</small></li> </ul>		9. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <small>w/copy of Assignment (2 pages)</small>	<input checked="" type="checkbox"/> Power of Attorney <small>(2 pages)</small>
		10. <input type="checkbox"/> English Translation Document <small>(if applicable)</small>	
		11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
		12. <input type="checkbox"/> Preliminary Amendment	
		13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>	
		14. <input type="checkbox"/> Small Entity Statement(s)	<input type="checkbox"/> Statement filed in prior application, Status still proper and desired
		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>	
		16. <input checked="" type="checkbox"/> Title Page (1 page)	
<p>17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:</p> <p><input type="checkbox"/> Continuation   <input type="checkbox"/> Divisional   <input type="checkbox"/> Continuation-in-part (CIP) of prior application No:</p>			
18. CORRESPONDENCE ADDRESS			
<p>Erwin J. Basinski Registration No. 34,773</p> <p>Morrison &amp; Foerster LLP 425 Market Street San Francisco, California 94105-2482 Telephone: (415) 268-7144 Facsimile: (415) 268-7522</p>			

If a paper is untimely filed in the above-referenced application, the applicant or his/her representative, the Assistant Commissioner is hereby petitioned under 37 C.F.R. § 1.136(a) for the minimum extension of time required to make said paper timely. In the event a petition for extension of time is made under the provisions of this paragraph, the Assistant Commissioner is hereby requested to charge any fee required under 37 C.F.R. § 1.17(a)-(d) to Deposit Account No. 03-1952. However, the Assistant Commissioner is NOT authorized to charge the cost of the issue fee to the Deposit Account.

The filing fee has been calculated as follows:

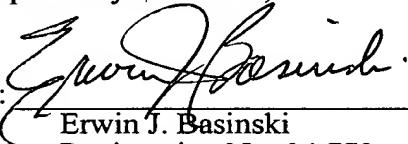
FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	28 - 20 =	- 8 -	x \$18.00	\$144.00
INDEPENDENT CLAIMS	2 - 3 =	- 0 -	x \$80.00	\$0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$0.00
			BASIC FEE	\$710.00
		TOTAL OF ABOVE CALCULATIONS =		\$854.00
Assignment Recording Fee (if enclosed)				\$40.00
		TOTAL =		\$894.00

A check in the amount of \$894.00 is attached.

Applicant(s) hereby petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees or to credit any overpayment to Deposit Account No. 03-1952 referencing docket no. 426882000200.

Dated: October 25, 2000

Respectfully submitted,

By:   
Erwin J. Basinski  
Registration No. 34,773

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425 Market Street  
San Francisco, California 94105-2482  
Telephone: (415) 268-7144  
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## CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Docket No. 426882000200

In the application of: Michael L. BEACHAM et al.  
 Serial No.: To Be Assigned  
 Filed: Herewith  
 For: A METHOD AND SYSTEM FOR IDENTIFYING BOTTLENECKS IN A SECURITIES  
 PROCESSING SYSTEM

Andersen Consulting LLP, an Illinois limited liability partnership, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From : \*

To: \*

The document was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

2. From : \*

To: \*

The document was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

3. From : \*

To: \*

The document was recorded in the Patent and Trademark Office at Reel \*, Frame \*, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: October 23, 2000



Name: Wayne P. Sobon  
 Title: Director of Intellectual Property